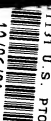


12/06/01



11131 U.S. PTO

UTILITY PATENT APPLICATION TRANS-MITTAL

(for Noncontinuing, Nonprovisional Applications under 37 C.F.R. §1.53(b))

Attorney Docket No. 7372/72249



10/004115

Box PATENT APPLICATION)
 Commissioner of Patents and)
 Trademarks)
 ATTENTION: Assistant Commissioner for)
 Patents)
 Washington, D.C. 20231)

Sir:)

Transmitted herewith for filing under)
 37 C.F.R. §1.53(b) is the)
 nonprovisional, noncontinuing)
 patent application for:)

Title: Process For Producing Optically)
 Active 4-Halo-3-)
 Hydroxybutanoate)

December 6, 2001

First Named Inventor or Application
 Identifier: ASAKO et al.

☒ 79 pages of the specification (including claims & Abstract are enclosed.

☐ Sequence Listing (pages 1-25) separately listed.

☐ _____ sheet(s) of drawings are enclosed. ☐ Formal ☐ Informal

☐ An executed Oath or Declaration and Power of Attorney naming the actual inventors is enclosed.

☐ The names of persons believed to be the actual inventors are set forth in the enclosed unexecuted Oath or Declaration and Power of Attorney (§1.41(a) and §1.53(b)).

☐ Application assigned to Sumitomo Chemical Limited, Co..

☐ A check in the amount of \$_____ to cover the fee for recording the assignment is enclosed.

☐ A 37 C.F.R. §3.73(b) statement is enclosed where an assignee seeks to take action.

- ☐ An Information Disclosure Statement is enclosed.
- ☐ A Form PTO-1449 is enclosed.
- ☐ _____ References (copies) listed on the Form PTO-1449 are enclosed.
- ☒ A Return Receipt Postcard is enclosed (MPEP §503).
- ☒ Priority of application number 2000-372704, 7 Dec 2000, 2001-006144, filed 15 Jan 2001, 2001-026594, filed 2 Feb 2001 and 2001-175175, filed 11 June 2001, in Japan are claimed under 35 U.S.C. §119.
- ☐ A certified copy of the priority document is enclosed.
- ☐ A Computer Program Listing Appendix is enclosed.
- ☐ A Transmittal Cover Letter for Computer Program Listing Appendix is enclosed.
- ☐ Two (2) Compact Discs are enclosed.
- ☒ A Nucleotide and/or Amino Acid Sequence Submission is enclosed.
- ☐ A Computer Readable Copy is enclosed.
- ☐ A Paper Copy (Identical to Computer Copy) is enclosed.
- ☐ A Statement Verifying Identity of above Copies is enclosed.
- ☒ The filing fee is calculated below:

Fee Calculation For Claims As Filed

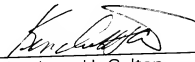
Basic Fee						\$ 740.00
Independent Claims	6	-	3	=	3	x \$ 84.00 = \$ 252.00
Total Claims	49	-	20	=	29	x \$ 18.00 = \$ 522.00
Fee for Multiply Dependent Claims						\$280.00
Total Filing Fee						\$ 1,514.00

- ☐ Applicant(s) assert entitlement to Small Entity Status, reducing the Filing Fee by half to: \$ 757.00
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☐ Charge \$_____ to Deposit Account No. 06-1135.

- The payment of the Filing Fee is to be deferred until the Declaration is filed. Do not charge our Deposit Account.
- A separate written request under 37 C.F.R. §1.136(a)(3), which is a general authorization to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. §1.136(a) for its timely submission as incorporating a petition for an extension of time for the appropriate length of time, is enclosed.
- The Commissioner is hereby authorized to charge any additional fees which may be required in this application under 37 C.F.R. §§1.16-1.17 during its entire pendency, or credit any overpayment, to Deposit Account No. 06-1135. Should no proper payment be enclosed herewith, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 06-1135. This sheet is filed in triplicate.
- Also enclosed: Inventors' Data Sheet
- Address all future communications to Customer Number 22242.



December 6, 2001
Date


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PATENT

Attorney Docket No. 7372/72249

Commissioner of Patents and Trademarks
ATTENTION: Assistant Commissioner for Patents
Washington, D.C. 20231

10/004115
12/06/01

Applicant(s): ASAKO et al.
Appln No.: (New Application)
Filed: Herewith
For: Process For Producing
Optically Active 4-Halo-3-
Hydroxybutanoate

GENERAL AUTHORIZATION FOR PETITION FOR
EXTENSION OF TIME UNDER 37 C.F.R. §1.136(a)(3)

Applicant(s) hereby request under 37 C.F.R. §1.136(a)(3) by this general authorization that any concurrent or future reply submitted by Applicant(s) to the U.S. Patent and Trademark Office for the above-identified patent application requiring a petition for an extension of time under §1.136(a) for its timely submission be treated as incorporating therein a petition for an extension of time for the appropriate length of time.

If Applicant(s) do not timely pay for any extension fee(s) pursuant to 37 C.F.R. §1.136(a) which may become due for this application under 37 C.F.R. §1.17 by check, the Commissioner is hereby authorized to charge such fee(s), and any additional fees which may be required in this application under 37 C.F.R. §§1.16-1.17 during its entire pendency, or credit any overpayment, to Deposit Account No. 06-1135, *ser. Under 7372/72249.*

December 6, 2001
Date

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General Authorization 0301